

TRANSMITTAL LETTER TO THE UNITED STATES

DESIGNATED/ELECTED OFFICE (DO/EO/US)

CONCERNING A FILING UNDER 35 U.S.C. 371

220355US0PCT

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

10/089065

INTERNATIONAL APPLICATION NO.
PCT/EP00/09630INTERNATIONAL FILING DATE
2 October 2000PRIORITY DATE CLAIMED
5 October 1999

TITLE OF INVENTION

CHEMICAL AND/OR PHYSICAL TREATMENT OF MIXTURES WHICH CONTAIN AT LEAST ONE
CHEMICAL COMPOUND HAVING AT LEAST ONE ETHYLENICALLY UNSATURATED GROUP

APPLICANT(S) FOR DO/EO/US

MUELLER-ENGEL Klaus Joachim et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☒ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 20 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☐ A change of power of attorney and/or address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
20. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
22. ☐ Certificate of Mailing by Express Mail
23. ☐ Other items or information:

Notice of Priority/PCT/IB/304

Form PTO-1449/Amended Sheets (Pages 8, 9 and 10)

Statement of Relevancy/Cited References (5)

| | | |
|---|-------------------------------|--------------------------|
| U.S. APPLICATION NO. (IF KNOWN, SERIAL NO.) | INTERNATIONAL APPLICATION NO. | ATTORNEY'S DOCKET NUMBER |
| 10/089003 | PCT/EP00/09630 | 220355US0PCT |

24. The following fees are submitted:

BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5) :

- | | |
|--|------------------|
| <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO | \$1040.00 |
| <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO | \$890.00 |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO | \$740.00 |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) | \$710.00 |
| <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) | \$100.00 |

ENTER APPROPRIATE BASIC FEE AMOUNT =

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).

| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | |
|--|--------------|--------------|--------------------------|--------|--|
| Total claims | 13 - 20 = | 0 | x \$18.00 | \$0.00 | |
| Independent claims | 3 - 3 = | 0 | x \$84.00 | \$0.00 | |
| Multiple Dependent Claims (check if applicable). | | | <input type="checkbox"/> | \$0.00 | |

Multiple Dependent Claims (check if applicable).

TOTAL OF ABOVE CALCULATIONS =

- ☐ Applicant claims small entity status. See 37 CFR 1.27). The fees indicated above are reduced by 1/2.

SUBTOTAL =

Processing fee of **\$130.00** for furnishing the English translation later than ☐ 20 ☐ 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).

TOTAL NATIONAL FEE

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) **(check if applicable)**.

TOTAL FEES ENCLOSED

| | |
|----------------------|----|
| Amount to be: | \$ |
| refunded | |
| charged | \$ |

- a. ☒ A check in the amount of \$890.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:



22850

SIGNATURE

William E. Beaumont
North F. Obion

NAME **Registration Number 30,993**

24,618

REGISTRATION NUMBER

DATE April 5, 2002

Docket No. 220355US0PCT

IN RE APPLICATION OF: Klaus Joachim MUELLER-ENGEL et al.

SERIAL NO: New U.S PCT Application (Based on PCT/EP00/09630)

FILED: HEREWITH

FOR: CHEMICAL AND/OR PHYSICAL TREATMENT OF MIXTURES WHICH CONTAIN AT LEAST ONE
CHEMICAL COMPOUND HAVING AT LEAST ONE ETHYLENICALLY UNSATURATED GROUPASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

SIR:

Transmitted herewith is an amendment in the above-identified application.

- ☒ No additional fee is required
- ☐ Small entity status of this application under 37 C.F.R. §1.9 and §1.27 is claimed.
- ☒ Additional documents filed herewith: PCT Transmittal Letter/English Translation of Specification/Declaration/Form PTO-1449/PCT/IB/304/International Search Report/Information Disclosure Statement/Cited References (5)/Statement of Relevancy/Amended Sheets (8, 9, and 10)/Check for \$890.00

The Fee has been calculated as shown below:

| CLAIMS | CLAIMS REMAINING | | HIGHEST NUMBER PREVIOUSLY PAID | NO. EXTRA CLAIMS | RATE | CALCULATIONS | |
|-------------|---------------------|--|---|------------------------|-----------|--------------|--------|
| TOTAL | 13 | MINUS | 20 | 0 | × \$18 = | \$0.00 | |
| INDEPENDENT | 3 | MINUS | 3 | 0 | × \$84 = | \$0.00 | |
| | | <input type="checkbox"/> MULTIPLE DEPENDENT CLAIMS | | | + \$280 = | \$0.00 | |
| | | TOTAL OF ABOVE CALCULATIONS | | | | | \$0.00 |
| | | <input type="checkbox"/> Reduction by 50% for filing by Small Entity | | | | | \$0.00 |
| | | <input type="checkbox"/> Recordation of Assignment | | | + \$40 = | \$0.00 | |
| | | TOTAL | | | | | \$0.00 |

- ☐ A check in the amount of **\$0.00** is attached.
- ☒ Please charge any additional Fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.
- ☒ If these papers are not considered timely filed by the Patent and Trademark Office, then a petition is hereby made under 37 C.F.R. §1.136, and any additional fees required under 37 C.F.R. §1.136 for any necessary extension of time may be charged to Deposit Account No. 15-0030. A duplicate copy of this sheet is enclosed.

OBLON, SPIVAK, McCLELLAND,
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